INTENT TO APPLY
and
APPLICATION GUIDELINES

WSQA★

THE PATH TO PERFORMANCE EXCELLENCE

Contents

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Beginning Your Performance Excellence Journey

The Baldrige Criteria for Performance Excellence are about winning in your arena every day with a high-performing, high integrity, ethical organization. Every Baldrige Criteria user is a winner. The Criteria help organizations respond to current challenges and address all the complexities of delivering results while preparing effectively for the future. Whether your organization is large or small, the Criteria provide a valuable framework that can help you align resources with approaches such as ISO 9000, JCHO, Lean, Balanced Scorecard, Six SIGMA, and GMAP. The Criteria will help you improve communication, productivity and effectiveness and achieve strategic goals.[1]

Your organization will receive tremendous value from submitting an application to WSQA. Every applicant receives a detailed Feedback Report based on an independent, external review conducted by a team of specially-trained examiners. Every Feedback Report is the cumulative effort of hundreds of Examiner and Judge Mentor hours. These reports highlight strengths and opportunities for improvement. Applicants may significantly improve their performance by acting on the opportunities that the Examiners identified.

How do you begin? For an organization that is starting its journey, a Lite Assessment is a good place to start. The Lite assessment format, combined with the Baldrige Criteria for Performance Excellence (www.nist.gov/baldrige), provides a framework to assess approaches related to leadership, planning, customers, workforce and systems, as well as measurement and results. For organizations that are further along, a Full Application provides the opportunity for an in-depth assessment based on the multiple requirements found in the Criteria for Performance Excellence.

Two Application Alternatives for Your Performance Excellence Journey

WSQA offers two application alternatives for your performance improvement journey – Lite (Assessment) Application and Full Examination application. Basic information for each is shown in the table below.

	Application Levels	
	Lite (Assessment) (See Assessment Application guidelines)	Full Examination
Application review cycle	Quarterly. A limited number of applications are reviewed each quarter.	Annual cycle. Applications reviewed November 2011 through April 2012.
Intent to Apply Form and associated fee of $150	Required. Accepted throughout the year. Applications submission request dates are accepted based on first receipt of request through the Intent to Apply form. Intent to Apply Form is attached to this document and also downloadable from WSQA web site.	Required. September 23, 2011
Criteria used to create application	Lite (Assessment) Criteria A subset of questions from the full Baldrige criteria	Full Baldrige Criteria for Performance Excellence
Version of Criteria Accepted	Application submitted must be in response to the current year or previous year Lite criteria.	Application submitted must be in response to the CURRENT year Criteria for Performance Excellence.
Organizational Profile	Required – up to 5 pages in length	Required – up to 5 pages in length
Depth of Application	Overall categorical questions	Category, Items, and Area Levels
Application Size	Up to 20 pages Plus: 5 page Organizational Profile, 1 page organization chart, and a glossary of terms, (minimum font size 10 pt, charts and graphs minimum 8 pt)	Up to 50 pages Plus: 5 page Organizational Profile, 1 page organization chart and a glossary of terms, (minimum font size 10 pt, charts and graphs minimum 8 pt)
Site Visit	Not available	Contingent upon results of Phase 2 review. Upon acceptance, applicant agrees to pay all Site Visit expenses and fees.

Examiner Contribution	Required to commit one (1) examiners the year prior, during or post application submission.	Required to commit one (1) examiners the year prior, during or post application submission.
Award Levels	Certificate of Submission sent with the Feedback Report.	Commitment Award Achievement Award Leadership Award Excellence Award * *Award level is determined by Panel of Judges*
Review Process	1-3 Examiners, Mentors, or Judges. Individual examiner review and team consensus review.	Full Examination team (5-10 members) with Judge Mentors. Individual examiner review and team consensus review. Possible site visit.
Feedback to Applicant	5-10 page report at the Category level. Scoring bands provided at Category level.	Full Feedback Report including Item and key theme feedback and Executive Briefing. Scoring bands provided at Item level. Overall Scoring band provided.
Fees	See below for most current fees	See below for most current fees

*In the event that the due date falls on a non-working day for the US Postal Service, we will accept postmarks for the next business day.

Intent to Apply Form

For either application above, applicants must first submit an Intent to Apply form to WSQA. Since WSQA is staffed by individual volunteers, The Intent form allows WSQA to make sure it has the necessary trained staff to conduct the examination of the Lite and Full Applications.

For Lite Applications, which are reviewed quarterly, the Intent to Apply Form can be submitted any time during the year. Make sure to indicate on the form which date (quarter and year) you are reserving for submitting a Lite Application. WSQA has the capacity to examine only a few applications each quarter. Reservation dates are allocated on a first come basis. WSQA will contact you upon receipt of the Intent to Apply form to finalize your reservation quarter. If the quarter you choose in full, WSQA will offer you an alternative quarter. Note: If you reserve a quarter and fail to submit an application, you will need to work with WSQA to set a new reservation time.

For Full Applications which are reviewed only once a year, the Intent to Apply Form must be submitted by September 23, 2011.

The Intent to Apply Form is attached. Copies can also be downloaded from the WSQA web site at www.wsqa.net.

Completed Intent to Apply forms, along with $150 fee, should be sent to:
> Laura Kinney
> ATTN: WSQA
> 3418 154th St NW
> Gig Harbor, WA 98332
> Laura.Kinney@multicare.org

What Organizations are Eligible to Submit Applications?

An applicant is eligible if:
- It is located in the State of Washington.
- It is applying as a division or subunit located in the State of Washington
- It is headquartered in the State of Washington or has major operational units located in the State of Washington. In such cases operational units outside of the State of Washington may be included in the application.
- Washington State accepts applicants located in states with no other Baldrige-based award program on a case by case basis as determined by available resources.
- Subunits or divisions of larger "parent" organizations may apply, but they must respond to all categories for the applicable criteria for which they are applying. A subunit or division and its parent may not apply for the same award during the same year.

Application Examination Process

The application examination process consists for the following stages:

- Stage One is the application review by individual examiners. All applications, both Lite and Full Application, receive this review.
- Stage Two is the consensus review by the team of Examiners. All applications, both Lite and Full Application, receive this review.
- Stage Three is a Site Visit to verify and clarify the information in the application. This stage is available only for the full examination application, for organizations whose score through Stage Two justifies proceeding through Stage Three, as determined by the panel of judges.
- Feedback Report. Each applicant receives a Feedback Report at the conclusion of the review process. The feedback contains strengths and opportunities for improvement relative to the Criteria for Performance Excellence. An Executive Briefing may be arranged to review the significant findings of the Feedback Report during a 90 minute meeting with WSQA and the applicant.

The full schedule for the examination process can be found on the Web site at www.wsqa.net.

Levels of Awards

All Lite Applications receive one award level - a Certificate of Submission.

For Full Applications, there are four levels of the Washington State Quality Award that can be awarded for the Full Examination Application.

Certificate of Commitment - Organizations recognized at this level have started their journey towards performance excellence.

WSQA for Achievement - Organizations recognized at this level have made progress in adopting sound approaches to advance performance excellence.

WSQA for Leadership - Organizations recognized at this level demonstrate the use of sound, effective approaches to advance performance excellence.

WSQA for Excellence - Organizations recognized at this level demonstrate the use of systematic approaches that result in sustained performance excellence.

Award recipients may publicize and advertise their specific level of Award in accordance with the WSQA Trademark policy. Recipients are expected to share information about their successful performance strategies with other Washington State organizations.

Fees

WSQA Application fees and administrative expenses are kept to a minimum through volunteer efforts. Fees include:

Intent to Apply Fee

An Intent to Apply fee of $150 is due with the Intent to Apply Form. The Intent to Apply Form will not be dated as received, by WSQA, until the Intent to Apply fee is received.

Application Fee

Application fee is due when the application is submitted. The application will not be accepted without receipt of the application Fee. The Application Fee is based upon the number of employees in your organization. Below is the Application Fee schedule.

Number of Employees	Application Fee
0 - 50	$750
51 - 250	$1,750
251 - 500	$2,500
501+	$5,000

Site Visit Fees (when applicable)

Site visit fees include both a Site Visit Administrative Fee of $500 plus out-of-pocket reimbursement for reasonable expenses of the examination team. Expenses include hotel or motel expenses, travel expenses, and per diem costs for off-site meals and supplies for each Examiner.

Application Requirements – Lite and Full Applications
Format Requirements
To help ensure equal treatment of all applicants, applications and any supplemental sections must meet the page limit, type size and format requirements indicated below. If requirements are not met, excess pages may be omitted, your application may be returned or sections of your application may be omitted.

Page limit: All applications must adhere to the page limitations stated above. Covers and divider pages/tab separators may contain only the title of the specified subject (i.e. Table of Contents, 2009 Intent to Apply form, Organizational Chart, Glossary of Terms and Abbreviations, Organizational Profile, Responses Addressing Criteria Items) and are not included in the page count. If Covers and tabs do contain additional information such as figures, charts, quotations, etc., they will be counted as part of the page count. Examiners must base their evaluations solely on information contained within the application report. Do not add links to information on intranet or web sites. Examiners are not permitted to follow any such links.

Paper size: Standard 8 ½ x 11 inches

Text Format: Applications are to be submitted with a minimum 10 point font size Times New Roman or equivalent. Line spacing should be a minimum of 2 points of lead between lines (2/72 or .0276 inches) Charts, graphs and diagrams must also meet the font and line spacing minimum size requirements, although graphs may have 8 point font size. The lines per page must not exceed 60, including the page headings. A blank line separating paragraphs is counted as a line. Margins of at least ¾" on the side of the page that is bound or fastened and at least ½" on the opposite side of the page are preferred. Pages set up in two-column format are preferred. Pages may be printed on both sides (with page count referring to printed side as 1 page). Text pages should have portrait orientation. Graphs, figures, charts and tables may have either portrait or landscape. All figures should be numbered in sequence within each Item and Category such as Figure P.1-1, Figure 2.1-1, or Figure 2.1-2.

Assembly: Applications may be submitted electronically (with permission to forward within WSQA as needed), on CD (multiple copies required) or in hard-copy (multiple copies required). If submitting application in hard-copy format, all components of the application and supplemental sections must be securely fastened to prevent separation during handling. The use of clips or binders with easily opened pressure-sensitive clips is discouraged. The use of bulky binders or similar heavy covers is discouraged.

Application Submission Requirements
Applicants must submit an application package as follows:
Full Examination Applications
1. Twenty (20) copies of the previously-submitted Intent to Apply Form.
2. One copy of the letter or e-mail from WSQA showing that the Intent to Apply Form was received by the required due date and identifying the due date for the application.
3. Twenty (20) hard copies or 20 CD copies of an application report consisting of an Organization Profile, responses to the Criteria
4. Application fee

Lite (Assessment) Applications
1. Eight copies of the previously-submitted Intent to Apply Form.
2. One copy of the letter or e-mail from WSQA showing that the Intent to Apply Form was received by the required due date and identifying the due date for the application.
3. Eight (8) hard copies or eight (8) CD copies of an application report consisting of an Organization Profile, responses to the Criteria.
4. Eight copies of the version of the Lite Assessment Criteria used to complete your application.
5. **OR one copy of #s 1-4 submitted electronically via e-mail (PDF format preferred).** Email submissions must include permission to transmit the application via email to the examination team.
6. Application fee.

Please mail or email application to:
Laura Kinney
ATTN: WSQA
3418 154th St NW
Gig Harbor, WA 98332
Laura.Kinney@multicare.org

Examiner Commitment

Applicants also agree to commit at least one individual from their organization as an Examiner in at least one of the following application cycles: the year prior to their application, during their application year or the year following their application year. Committing Examiners from your organization builds internal expertise and develops leadership and organizational development skills.

Criteria for Performance Excellence

The Malcolm Baldrige Performance Excellence Criteria are often considered the "leading edge of validated management practices." The Criteria are utilized all over the world. The WSQA program is based upon these world class performance excellence criteria. There are three types, from which the applicant chooses the most appropriate:

General Criteria for Performance Excellence – Organizations, subsidiaries, organizational units or divisions that produce and sell manufactured products or processes; conduct agricultural, mining, or construction operations; or sell or provide services. Organizations that are departments, commissions, agencies of federal, state, county, or local government entities. Organizations that provide services and meet the guidelines of the Internal Revenue Code for not-for-profit enterprises.

Education Criteria for Performance Excellence - Accredited institutions that grant degrees or offer credit courses as defined by Washington law. This includes public and private elementary schools, secondary schools, school districts, and post-secondary institutions (colleges, universities, and vocational technical schools).

Health Care Criteria for Performance Excellence - Organizations that provide health care directly to persons such as hospitals, HMO's and nursing homes. Organizations that do not provide health care directly to persons are also eligible.

Individual copies of the Criteria booklets can be obtained free of charge from

Baldrige National Quality Program
National Institute of Standards and Technology
100 Bureau Drive, Stop 1020
Gaithersburg, MD 20899-1020
Telephone: 301-975-2036
Fax: 301-948-3716
E-mail: baldrige@nist.gov
Web Site: www.nist.gov/baldrige

Copies can also be downloaded from www.nist.gov/baldrige,

Award Process Ethics and Confidentiality

Strict rules of conduct apply throughout the award process for Examiners, Judges, Board Members and administrative personnel -each is required to sign an Ethics Policy Statement. Examiners and Judges are also required to sign a Conflict of Interest Statement. Individual applications, commentary, and scoring information developed during the review of applications are regarded as proprietary and confidential. This information is accessible only to those individuals directly involved in the evaluation and application distribution processes. Board of Examiners members assigned to review applications follow strict conflict of interest rules and receive no information regarding the content or status of applications being reviewed by other Examiners.

Frequently Asked Questions

Do I need to send an Intent to Apply to WSQA?
Yes. The Intent to Apply allows WSQA to plan ahead, allocate resources and recruit examiners to conduct the examination of applications and provide performance improvement feedback.

When I send in the Intent to Apply form, do I need to reserve the quarter and year I will send in an application?
Yes. WSQA has limited resources and can only review a certain number of applications per quarter. Upon receipt of the Intent to Apply, WSQA will contact you to inform you if your desired reservation quarter is available. If not available, WSQA will work with you to find the next available quarter.

What happens if I do not send in the application in the quarter I reserved?
The reservation process helps WSQA make sure it has available trained volunteers to review applications and provide performance improvement feedback. WSQA will begin the examination process for your application during the next quarter which has open reservations. This could be anywhere from one to four quarters in the future.

How long is the examination process for the Lite Applications?
The Lite Application examination process takes about 12 – 16 weeks from the time WSQA receives the Lite Application.

What information will I receive from the application examination?
The examiners will review and evaluate your application, both Lite and Full application, compared to the Baldrige Criteria for performance excellence. The examiner prepared Feedback Report will contain valuable information on your organization's strengths relative to the Criteria and your opportunities for improvement relative to the Criteria.

Will WSQA share my application and Feedback Report with other organizations or individuals?
No. WSQA does not share your application and associated Feedback Report with any other organization or individuals. WSQA examiners and officials are held to strict confidentiality standards and will not discuss or distribute your application or Feedback Report.

Appendix 1

This form is valid for one year from the date signed.

Applicant

Organization Name (as you would like it to appear on an award, should you be a recipient)
Other Names Click here to enter text.
Prior Names Click here to enter text.
Address
Have you been a prior applicant to WSQA? ☐ Yes ☐ No If yes, which year? Enter the Year

Sector

Check appropriate box to indicate sector and organization size.

☐ Business ☐ Not-for-Profit ☐ Healthcare

☐ Public ☐ Education

Criteria Booklet Being Used by Applicant:

☐ Criteria for Performance Excellence ☐ Healthcare ☐ Education

Application Level and Application Fee (see fee table on Web site) to be submitted with application OR with this Intent to Apply Form

☐ Lite (Assessment) $
Desired submission date of Lite application: ☐ January 1 ☐ April 1 ☐ July 1 ☐ October 1

☐ Full Examination $

Permission to Release Applicant Name and Contact:

Permission is granted to release organization name and contact name as an applicant (release includes, but is not limited to posting the applicant's name and contact name on the WSQA website as an "Organization embarking on the Path of Excellence through the submission of a Lite or Full application"). ☐ Yes ☐ No

Highest Ranking Applicant Official in the State of Washington

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.
Name   Title
Address
Telephone Number
E-mail

Official Contact Person

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.
Name   Title
Address
Telephone Number   Fax Number
E-mail

Address Feedback Report to: ☐ Highest Ranking Official ☐ Official Contact Person ☐ Other (specify)

Examiner Commitment:

Name of Examiner: E-mail   Phone
Submission date of Examiner Application:

Name of Examiner: E-mail   Phone
Submission date of Examiner Application:

Name of Examiner: E-mail   Phone
Submission date of Examiner Application:

Examiners must commit the year prior, during, or post application submission.

Applicant Headquarters

Indicate if the applicant's headquarters are located in the state of Washington. If the headquarters are not in Washington, please provide a brief explanation.
☐ Yes   ☐ No

Explanation:

Applicant Size and Site Locations
Number of Employees Click here to number
Percent of Employees Located in the State of Washington
Total Number of Sites
List a brief description and complete address for each site.

Subsidiary Organizational Unit or Division

Indicate if the applicant is a unit, division, or other component of a larger parent organization. If the applicant is part of a larger parent organization, complete each of the additional items in this section.
☐☐ Yes, applicant is part of a larger parent organization

☐ ☐No, applicant is not part of a larger parent organization

Parent Organization Name
Address
Highest Ranking Official of Parent Organization
☐ Mr. ☐Mrs. ☐Ms. ☐Dr.
Title
Telephone Number
Indicate if other units within the parent organization offer similar products or services. If other units do offer similar products or services, please provide a brief explanation.
☐ Yes   ☐ No

Briefly describe any major business support functions that are provided to the applicant by the parent organization.

Fee

The Intent to Apply Fee of $150 must be submitted with the Intent to Apply Form. Your form will not be dated as received until the fee is received. Checks should be made payable to: **Washington State Quality Award**. Please indicate method of payment:

☐ Check (enclosed)   ☐ Money Order (enclosed)

Ethics

Questions in this section are to determine if there is anything about your organization that may bring negative attention to WSQA or representatives thereof. Answering "yes" to any of the following questions requires further explanation; however, this does not imply that the applicant will be automatically disqualified. Provide supporting explanations on a separate page that is included with this Eligibility Determination Form. Fines, law suits, sanctions, adverse actions or any activity related to your organization that may bring negative attention to WSQA should be addressed on the separate page. Activities that would not bring negative attention and are within the norm of activities of a similar type of organization may be addressed with a statement: "Our organization has been involved in the typical types of legal actions associated with a_____ (list the type of organization). Typical examples of these types of activities include: _____ (list the type of activities). There are no current or past actions that have been or are likely to be involved in negative publicity for our organization." A member of WSQA may contact the applicant for additional information.

Has the applicant been fined during the past five years for violating environmental laws?
☐ Yes   ☐ No

Have any of the applicant's senior executives/corporate officers been convicted of a felony during the past three years?
☐ Yes   ☐ No

Has the applicant been fined for income tax delinquency during the past three years?
☐ Yes   ☐ No

Is the applicant currently in the process of bankruptcy proceedings?
☐ Yes   ☐ No

Has your organization been convicted, settled or received sanctions or adverse actions under law (including malpractice, fraud, etc.) regulations, accreditation or contract in the past 3 years?

☐ Yes   ☐ No

Are you aware of anything about your organization that would bring embarrassment upon the Washington State Quality Award or the Governor if your organization was to be publicly recognized?

☐ Yes   ☐ No

Key Organization Factors

List, briefly describe, or identify the following key business/organization factors. Be as specific as possible to help the WSQA Program avoid real or perceived conflicts of interest when assigning Examiners to evaluate your application. "Key" means those organizations that constitute 5 % or more of your competitors, customers/users, or suppliers.

A. Description of main products and/or services Enter products/services.
B. List of key competitors Enter key competitors.
C. List of key customers/users Enter key customers/users
D. List of key suppliers/partners Enter key suppliers/partners.
E. Name of organization's financial auditor Enter name of financial auditor organization.

Waiver of right to bring Suit

Washington State Quality Award employs an online software program to improve the productivity of its examiners. This program is provided to Washington State Quality Award by the Alliance for Performance Excellence (the Alliance), a nonprofit organization of state and local quality award programs. The Alliance has licensed this software from its copy write holder, Shaw Resources. The agreement between the Alliance and Shaw Resources requires that applicants to Washington State Quality Award waive their right to bring suit against the Alliance and/or Shaw Resources, their licensees, agents, or assigns and releases the Alliance and/or Shaw Resources, their licensees, agents, or assigns from any claims, action, or losses arising from use of the software in conjunction with evaluating the document submitted by the Applicant. By submitting this Intent to Apply, the applicant waives its right to bring suit as defined above.

☐ Yes   ☐ No

Disclosure and Release Statement

I attest that the information provided in this Eligibility Determination Form and the Application to be provided is accurate and true to the best of my knowledge. Full disclosure of any circumstances that may negatively affect the Award has been made with the submission of the Eligibility Determination Form. I understand that the Award program may verify this information, and that untruthful or misleading information may result in forfeit of the Award. Furthermore, I certify that our organization is not engaged in any activity past or present that could be deemed embarrassing to the State of Washington, The Honorable Governor of the state of Washington or the WSQA. I understand that I must immediately notify WSQA if our status changes in any of these areas during the next 12 months and that I may be asked to revalidate this disclosure during the 12 months.

I also understand that members of the Washington State Quality Award Board of Examiners will review this application. Examiners are authorized to used cell phones, cordless phones, e-mail and a security enhanced, web-based software program, personal computers and laptops to review and discuss your application among team members, team mentors and with WSQA authorized persons. I agree to host the Examiner team and facilitate open and unbiased evaluation of our organization if we are selected for a Site Visit (not available to Lite applicants). I understand that our organization will be responsible for paying all reasonable travel and related expenses for the site evaluation team.

I also understand that with the submission of our application, our organization commits to providing at least one individual from our organization as an Examiner in at least one of the following application cycles: the year prior to our application, this application year or the next application year.

_____   _____
Signature of Highest Level Organization Official   Date

Printed Name
Title
Address
Telephone Number

Send this form and payment to: WSQA ATTN: Laura Kinney, 3418 154th St NW, Gig Harbor, WA 98332

Appendix 2

WSQA ★
THE PATH TO PERFORMANCE EXCELLENCE

2010-2011
Lite (Assessment) Criteria

The Lite level application is the starting point for many organizations that are beginning to adopt and apply quality principles as defined by the WSQA and Baldrige Criteria. This Lite level application provides your organization with the ability to begin the journey with an abbreviated set of criteria questions. These questions are a direct subset of the full criteria for performance excellence as indicated in *Criteria for Performance Excellence* booklet.

The reference number at the end of the question indicates the item and question in the full criteria referenced by the Lite question. Please use the *2009-2010 Criteria for Performance Excellence* developed by the Baldrige National Quality Program for the cross reference material as well as the glossary, category, and item descriptions. The question following each category provides the context of the category. Applicants should respond directly to the individual bolded questions below each category, as well as to the questions following the category title. It is highly recommended that applicants obtain a copy of the 2009-2010 *Criteria for Performance Excellence* and study all areas including the values, glossary, notes scoring guidelines and categories. Criteria are available as downloads from www.wsqa.net or by contacting WSQA.

Requirements

1. Obtain complete Application Guidelines and Intent to Apply (previously the eligibility) form from the WSQA Web page at www.wsqa.net/apply.htm. This set of guidelines will provide time frames of submittal, information required for submittal, application length and much more.

2. Complete the *entire Organizational Profile* as described in Section P Preface: Organizational Profile, P.1 Organizational Description and P.2 Organizational Challenges in the *Criteria for Performance Excellence* booklet (available for free download at www.wsqa.net/apply.htm). Limit your response to 5 pages. In addition, include a copy of your organizational chart.

3. Describe your organization by answering the following questions for each category. See the full Criteria booklet for definitions of terms and further explanations to help you understand the questions. Please focus your response on the questions in this document only, not on the full set of criteria questions. Limit your response to no more than 20 pages. The following page guideline is suggested, but not required: up to 2 pages each for categories 1-6 and 8 pages for category 7. Please note that Category 7 results should be linked to and be the result of your processes described in Categories 1-6. Results demonstrate the effectiveness of your processes.

4. Please note that your responses will be evaluated using the Scoring Guidelines described at the end of this document. Categories 1-6 will be using the scoring guidelines that reflect four factors of approach, deployment, learning and integration. Category 7 will be using scoring guidelines that reflect the factors of current performance levels, trends, comparisons and integration.

Feedback

Approximately 12 weeks after the application is received by WSQA, the applicant organization will receive a feedback report written at the category level. Feedback will include comments on the strengths of the organization as well as opportunities for improvement and a scoring range for each category. Every applicant will also be offered the opportunity for an Executive Briefing, a meeting with a representative of WSQA (Executive Director or Board member) and a member of the Examination team (member of the Panel of Examination and Process Development or Board of Examiners) to review the most significant findings of the feedback report.

Suggestions for Preparing Your Lite Application

Visit the Baldrige National Quality Program website to view past award winning applicants and synopsis of their applications: http://www.quality.nist.gov/Award_Recipients.htm The overall Category description level (in bold italics) is presented to provide context for the category. The focus of the application should be on addressing the item level questions under each category as they amplify the basic item requirements (refer to the Baldrige Criteria for Performance Excellence, Item Format, page 30). The most effective applications address a three to five year horizon that includes the current strategic plan in addition to the three to five prior cycles of strategic planning. This information allows examiners to see evidence of learning and improvement.

When answering a "How" question it is important to describe the process you use. Therefore provide a flow chart, model, diagram, or table to show the elements of a process. Elements of a process include inputs, steps (related activities), timeframes, outputs, end user, standards, key measures to evaluate the process and improvement to the process over time. **STORIE** (Each of these are indicators that a systematic approach exists):

S-teps
T-iming
O-wner
R-epeatable
I-nputs
E-ffectiveness & Evaluation

1. You can describe the steps in the process. (This is a pretty good indicator)
2. The process occurs at a certain time of the month or year.
3. Someone is accountable for the process.
4. The process has been used more than once.
5. There are inputs needed for the process to take place.
6. Results reflect that the process is effective. The process adequately and logically reflects the profile of the organization (i.e., takes into account specific needs of the stakeholders of the process, the organization's operating environment, etc.). The process includes steps of evaluation and improvement to the process. If appropriate the process reflects use of data to make improvements.

Please keep in mind the scoring guidelines located in the *Criteria for Performance Excellence* booklet (available for free download at www.wsqa.net/apply.htm). All responses to the criteria questions will be evaluated based on these guidelines. A full definition of each element of the scoring guidelines is available in detail in both the Glossary section and the Scoring System section of the *Criteria for Performance Excellence* booklet. For process categories 1-6, the guidelines have the four **"ADLI"** elements:

Approach - methods used to address the item requirements including appropriateness of the method as well as effectiveness of use.

Deployment - extent to which an approach is applied to relevant work units throughout the organization.

Learning - new knowledge or skills acquired through evaluation, study, experience and innovation. This includes both organizational and personal learning. Learning should be embedded in the way an organization operates. Learning contributes to a competitive advantage and sustainability for the organization and its workforces. Organizational learning is achieved through research and development, evaluation and improvement cycles, stakeholder input and ideas, best-practice sharing, and benchmarking. Personal learning is achieved through education, training and developmental opportunities.

Integration - harmonization of plans, processes, information, resource decisions, actions, results, and analyses to support organization-wide goals. Effective integration goes beyond alignment and is achieved when the individual components of a performance management system operate as a fully interconnected unit.

Category 7- Results are evaluated using the following four **"LeTCI"** elements:

Levels - numerical information that places or positions an organizations results and performance on a meaningful measurement scale.

Trends - numerical information that shows the direction and rate of change of an organization's results. Trends provide a time sequence of organizational performance. A minimum of the historical (not projected) data points generally are needed to define a statistically valid trend. The tie period for a trend is determined by the cycle time of the process being measured. Shorter cycle times demand more frequent measurement, while longer cycle times might require longer time periods before meaningful trends can be determined.

Comparisons - performance relative to appropriate comparisons such as competitors or organizations similar to yours (or similar processes to yours). Performance is relative to benchmarks or industry leaders.

Integration- extent to which your results measures (often through segmentation) address important customer, product, market, process and action plan performance requirements identified in your Organizational Profile and in Process Items. Results include valid indicators of future performance and are harmonized across processes and work units to support organization-wide goals.

Lite Application scoring is limited to the first four scoring bands presented in the scoring guidelines located in the *Criteria for Performance Excellence* booklet.

Considerations for Repeat Applicants

A revised version of a previous application may be used for a repeat application. In the revision, it may be beneficial to focus on key strengths identified in previous applications in addition to learning and improvement.

- Repeat applicants who have utilized the Baldrige model and feedback report to improve organizational performance practices, capabilities and results and to serve as a working tool for understanding and managing performance and for guiding organizational planning and learning are encouraged to convey how they have used the feedback from previous application cycles. This can be done in the following sections. Examiners are not aware of the application history of a given applicant as they rely only on the current application in providing feedback. In order to see improvement as a result of applied feedback from a state or national quality award, examiners need to know what improvements were made. If process improvements based on prior feedback reports resulted in improved results, this information should also be pointed out to examiners.
- Where applicable, identify WSQA or MBNQA assessment and feedback reports as improvement tools. This is an opportunity to describe how the feedback was used for improvement and demonstrate learning. Suggestions for where to include this information are:
    - Organizational Profile (P.2c) – Describe the process for reviewing and evaluating feedback for action and the value of Baldrige as a key element in the performance improvement system
    - Strategic Planning (2.1 and 2.2) – Explain how feedback was used to modify or enhance objectives and goals and to create forward-looking action plans; describe how past feedback on key measures was used to improve performance projections, comparative data, and plans to address performance gaps
    - Measurement, Analysis, and Knowledge Management (4.1) – Explain how past feedback was used to improve performance measurement and analysis, and how feedback was translated into priorities for improvement
    - All process categories – Describe processes that are newly implemented or revised as a result of feedback
    - All results items – Demonstrate the effectiveness of newly implemented or revised processes as a result of feedback

Organizational Profile

Item P.2c "Performance Improvement System" – The Baldrige Criteria for Performance Excellence can be portrayed as an element of its performance improvement system, including evaluation and learning processes. Explain how past key themes, major strengths, and OFI's have been addressed by the organization.

Categories

Item 2.1b "Strategic Objectives & Goals" and Item 2.2a "Action Plan Development and Deployment". Past applicants can explain how past feedback was used to modify/enhance objectives, goals, and create forward-looking action plans.

Item 2.2b "Performance Projections". Past applicants can explain how past feedback on key measures/results was used to improve performance projections, comparative data, and plans to address performance gaps.

Item 4.1a "Performance Measurement" and Item 4.1b "Performance Analysis, Review, and Improvement". Past applicants can explain how past feedback was used to improve performance measurement and analysis, and how feedback was translated into priorities for improvement.

Results items – focus some comments on trend /comparative data based on past feedback.

Scoring considerations

Past applicants can explain how past feedback was used to impact the Learning dimension of ADLI to generate improvements.

Assessment Criteria

Category 1 - Leadership: *How do your senior leaders lead? How do you govern and address your social responsibilities?*

   a) **How do Senior Leaders set organizational Vision and Values? How do Senior Leaders deploy your organization's vision and values through your leadership system, to the workforce, key suppliers and partners and to customers and other stakeholders, as appropriate? (ref. 1.1a1)**
   b) **How do Senior Leaders communicate with and engage the entire workforce? How do Senior Leaders encourage frank, two-way communication throughout the organization? (ref. 1.1b1)**
   c) **Describe how your organization addresses its responsibilities to the public and ensures ethical behavior.** How does your organization fulfill its responsibilities to the public and ensure the ethical behavior of all members? (ref. 1.2a and b)

   RELATED RESULTS (include response in section 7.3): What are your current levels and tends in key measures or indicators of financial performance including aggregate measures of financial return, financial viability or budgetary performance as appropriate? (ref 7.3a1)

Category 2 - Strategic Planning: *How do you develop and deploy your strategy?*

   a) **How does our organization perform its strategic planning? What are the key process steps and who are the key participants? (ref. 2.1a1) What are your key strategic objectives? (ref. 2.1b1)**
   b) **How do your strategic objectives address your strategic challenges and strategic advantages? (Refer to P.2.b in the Organizational Profile) (ref. 2.1b2)**
   c) **How do you deploy action plans through out the organization to achieve your key strategic objectives? (ref. 2.2a1)**

   RELATED RESULTS (include response in section 7.6): What are your results for key measures or indicators of accomplishment of your organizational strategy and action plans? (ref 7.6a1)

Category 3 - Customer and Market Focus: *How do you obtain and use customer and market knowledge? How do you build relationships and grow customer satisfaction?*

   a) **How do you identify and innovate product offerings to meet the requirements and exceed the expectations of your customer groups and market segments? (Refer to P.1.b (2) in Organizational Profile) (ref. 3.1a1)**
   EDUCATION: replace customer-related with student and stakeholder-related
   HEALTHCARE: replace customer-related with patient and other customer-related
   b) **How do you determine your key mechanisms to support use of your products and enable customers**

to seek information and conduct their business with you? What are your key means of customer support, groups or market segments?   (ref. 3.2a2)

EDUCATION: enable students and stakeholders to seek information, pursue common purposes, and make complaints?

HEALTHCARE: enable patients and other customers to seek information, obtain services, and make complaints?

c)   How do you determine customer satisfaction, dissatisfaction and loyalty? (ref. 3.2.b1)

EDUCATION: determine student and stakeholder satisfaction, dissatisfaction, and loyalty?

HEALTHCARE: determine patient and other customer satisfaction and dissatisfaction?

RELATED RESULTS (include response in section 7.1 & 7.2): What are your current levels, trends in key measures or indicators of product performance that are important to your customers? How do these results compare with the performance of your competitors and other organizations with similar product offerings? (ref 7.1a)

What are your current levels and trends in key measures or indicators of customer satisfaction and dissatisfaction? How do these results compare with the customer satisfaction levels of your competitors and other organizations providing similar products? (ref. 7.2a1)

Category 4 - Measurement, Analysis and Knowledge Management: *How do you measure, analyze, and then improve your organizational performance? How do you manage your information and organizational knowledge?*

a)   How do you select, collect, align, and integrate data and information for tracking daily operations and for tracking overall organizational performance? What are your key organizational performance measures, including key short-term and longer-term financial measures? (ref. 4.1a1)

b)   How do you review organizational performance and capabilities? (ref. 4.1b1) c)   How do you make needed data and information available? How do you make them accessible to your workforce, suppliers, partners, collaborators, and customers, as appropriate? (ref. 4.2a2)

EDUCATION: accessible to workforce, students, stakeholders, suppliers, partners, and collaborators as appropriate?

HEALTHCARE: accessible to workforce, suppliers, partners, collaborators, and patients and other customers as appropriate?

d)   How do you manage organizational knowledge to accomplish the collection and transfer of workforce knowledge? (ref. 4.2a3)

Category 5 -Workforce Focus: *How do you encourage your workforce to achieve organizational and personal success?*

a)   How do you determine the key factors that affect workforce engagement and workforce satisfaction?   (ref. 5.1a1) How do you assess workforce engagement and workforce satisfaction? (ref. 5.1c1)

b)   How does your workforce development and learning system address your core competencies, strategic challenges, and the accomplishment of your action plans?" (ref. 5.1b1)

c)   How do you assess your workforce capability and capacity needs, including skills, competencies, and staffing levels? (ref. 5.2a1)

RELATED RESULTS (include response in section 7.4): What are your current levels and trends in key measures of indicators of workforce engagement and workforce satisfaction? How do these results compare with competitors or others with similar workforce? (ref 7.4a1)

Category 6 - Process Management: *How do you design your work systems? How do you manage and improve your key organizational work processes?*

a) How do your work systems and key work processes relate to and capitalize on your core competencies? (ref. 6.1a1)
b) What are your organization's key work processes? How do these processes contribute to delivering customer value, organizational success, and sustainability? (ref. 6.1b1)
c) How do you determine key work process requirements, incorporating input from customers, suppliers, partners and collaborators as appropriate? What are the key requirements for these processes? (ref. 6.1b2)
d) What are your key performance measures or indicators and in-process measures used for the control and improvement of your work processes? How do implement and manage your work processes to ensure that they meet design requirements? How is workforce, customer, supplier, partner and collaborator input used in managing these processes as appropriate? (ref. 6.2b1)

RELATED RESULTS (include response in section 7.5 What are your current levels and trends in key measures or indicators of the operational performance of your key work processes including productivity, cycle time and other appropriate measures of process effectiveness, efficiency, and innovation? How do these results compare with competitors or others with similar processes? (ref 7.5a2)

Category 7 - Organizational Results: *What are your product and service performance, customer-focused performance, financial and marketplace performance, workforce-focused performance, process effectiveness and leadership results?*

Note: *Please provide data in relative segments if applicable. Please provide relative comparisons. The italicized print following the item reference is for context purposes, applicants should reply to the bolded questions that follow.)*

7.1 Product Outcomes
7.1a What are your current levels, trends in key measures or indicators of product performance that are important to your customers? How do these results compare with the performance of your competitors and other organizations with similar product offerings? (ref 7.1a)

7.2 Customer-Focused Outcomes
7.2a What are your current levels and trends in key measures or indicators of customer satisfaction and dissatisfaction? How do these results compare with the customer satisfaction levels of your competitors and other organizations providing similar products? (ref. 7.2a1)

7.3 Financial and Market Outcomes
7.3a What are your current levels and tends in key measures or indicators of financial performance including aggregate measures of financial return, financial viability or budgetary performance as appropriate? (ref 7.3a1)

7.4 Workforce-Focused Outcomes
7.4a What are your current levels and trends in key measures of indicators of workforce engagement and workforce satisfaction? How do these results compare with competitors or others with similar workforce? (ref 7.4a1)

7.5 Process Effectiveness Outcomes
7.5a What are your current levels and trends in key measures or indicators of the operational performance of your key work processes including productivity, cycle time and other appropriate measures of process effectiveness, efficiency, and innovation? How do these results compare with competitors or others with similar processes? (ref 7.5a2)

7.6 Leadership Outcomes
7.6a What are your results for key measures or indicators of accomplishment of your organizational strategy and action plans? (ref 7.6a1)

Scoring Guidelines

For Use with Categories 1-6

1 - Not Evident	• No SYSTEMATIC APPROACH to Item requirements is evident; information is ANECDOTAL. (A) • Little or no DEPLOYMENT of any SYSTEMATIC APPROACH is evident. (D)An improvement orientation is not evident; improvement is achieved through reacting to problems. (L) • No organizational ALIGNMENT is evident; individual areas or work units operate independently. (I)
2 - Beginning	• The beginning of a SYSTEMATIC APPROACH to the BASIC REQUIREMENTS of the Item is evident. (A) • The APPROACH is in the early stages of DEPLOYMENT in most areas or work units, inhibiting progress in achieving the BASIC REQUIREMENTS of the Item. (D) • Early states of a transition from reacting to a general improvement orientation are evident. (L) • The APPROACH is ALIGNED with other areas or work units largely through joint problem solving. (I)
3 - Basically Effective	• An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the BASIC REQUIREMENTS of the Item is evident. (A) • The APPROACH is DEPLOYED, although some areas or work units are in early stages of DEPLOYMENT. (D) • The beginning of a SYSTEMATIC APPROACH to evaluation and improvement of KEY PROCESSES is evident. (L) • The approach is in the early stages of ALIGNMENT with your basic organizational needs identified in response to the Organizational Profile and other Process Items. (I)
4 - Overall Effective	• An EFFECTIVE, SYSTEMATIC APPROACH, responsive to the MULTIPLE REQUIREMENTS of the Item, is evident. (A) • The APPROACH is well DEPLOYED, with no significant gaps. (D) • Fact-based, SYSTEMATIC evaluation and improvement PROCESS and some organizational LEARNING, including INNOVATION, are in place for improving the efficiency and EFFECTIVENESS of KEY PROCESSES. (L) • The APPROACH IS ALIGNED with your organizational needs identified in response to the Organizational Profile and other Process Items. (I)

For Use with Category 7

1 - Not Evident	• There are no organizational PERFORMANCE RESULTS and/or poor RESULTS in areas reported. (Le) • TREND data either are not reported or show mainly adverse trends. (T) • Comparative information is not reported. (C) • Results are not reported for any areas of importance to the accomplishment of your organization's MISSION. (I)
2 - Beginning	• A few organization PERFORMANCE RESULTS are reported and early good PERFORMANCE LEVELS are evident in a few areas. (LE) • Some TREND data are reported, with some adverse TRENDS evident. (T) • Little or no comparative information is reported. (C) • RESULTS are reported for a few areas of importance to the accomplishment of your organization's MISSION. (I)
3 - Basically Effective	• Good organizational PERFORMANCE RESULTS are reported for some areas of importance to the Item requirements. (Le) • Some TREND data are reported, and a majority of the TRENDS presented are beneficial. (T) • Early stages of obtaining comparative information are evident. (C) • Results are reported for many areas of importance to the accomplishment of your organization's MISSION. (I)
4 - Overall Effective	• Good organizational PEFORMANCE LEVELS are reported for most areas of importance to the Item requirements. (LE) • Beneficial TRENDS are evident in areas of importance to the accomplishment of your organization's MISSION. (T)

	• Some current PERFORMANCE LEVELS have been evaluated against relevant comparisons and/or BENCHMARKS and show areas of good relative PERFORMANCE. (C) • Organizational PERFORMANCE RESULTS are reported for most KEY CUSTOMER, market and PROCESS requirements. (I)

WSQA★

THE PATH TO PERFORMANCE EXCELLENCE

LITE

Organizational Profile and Responses to the Overall Criteria Requirements

To be used with the 2011-2012 Criteria for Performance Excellence

Application length **should not exceed 20 pages,** excluding the Organizational Profile, organizational Charts and Glossary. It should include a response to the *Organizational Profile questions*, response to the *Overall Requirements* of each Item, and *Results* contained on the last page of this template.

Information can be inserted as a response to each section of the template provided below or can be formatted as your organization desires in a separate document – whatever works best for your program. There are no specific font type or size guidelines, however please consider ease of reading for examiners.

Organizational Profile

The *Organizational Profile* is a snapshot of your organization, the KEY influences on HOW you operate, and the KEY challenges you face.

P.1 Organizational Description: What are your key organizational characteristics?

Describe your organization's operating environment and your KEY relationships with CUSTOMERS, suppliers, PARTNERS, and STAKEHOLDERS.

Within your response, include answers to the following questions:

a. Organizational Environment

(1) **Product Offerings** What are your organization's main product offerings (see note 1 below)? What is the relative importance of each to your organizational success? What mechanisms do you use to deliver your products?

(2) **VISION and MISSION** What are the distinctive characteristics of your organizational culture? What are your stated PURPOSE, VISION, VALUES, and MISSION? What are your organization's CORE COMPETENCIES and their relationship to your MISSION?

(3) **WORKFORCE Profile** What is your WORKFORCE profile? What are your WORKFORCE or employee groups and SEGMENTS? What are their education levels? What are the KEY elements that engage them in accomplishing your MISSION and VISION? What are your organization's WORKFORCE and job DIVERSITY, organized bargaining units, KEY WORKFORCE benefits, and special health and safety requirements?

(4) **Assets** What are your major facilities, technologies, and equipment?

(5) **Regulatory Requirements** What is the regulatory environment under which your organization operates? What are the applicable occupational health and safety regulations; accreditation, certification, or registration requirements; industry standards; and environmental, financial, and product regulations?

b. Organizational Relationships

(1) **Organizational Structure** What are your organizational structure and GOVERNANCE system? What are the reporting relationships among your GOVERNANCE board, SENIOR LEADERS, and parent organization, as appropriate?

(2) **CUSTOMERS and STAKEHOLDERS** What are your KEY market SEGMENTS, CUSTOMER groups, and STAKEHOLDER groups, as appropriate? What are their KEY requirements and expectations for your products, CUSTOMER support services, and operations? What are the differences in these requirements and expectations among market SEGMENTS, CUSTOMER groups, and STAKEHOLDER groups?

(3) **Suppliers and PARTNERS** What are your KEY types of suppliers, PARTNERS, and COLLABORATORS? What role do these suppliers, PARTNERS, and COLLABORATORS play in the production and delivery of your KEY products and CUSTOMER support services? What are your KEY mechanisms for communicating with suppliers, PARTNERS, and COLLABORATORS? What role, if any, do these organizations play in implementing INNOVATIONS in your organization? What are your KEY supply-chain requirements?

P.2 Organizational Situation: What is your organization's strategic situation?

Describe your organization's competitive environment, your KEY STRATEGIC CHALLENGES and ADVANTAGES, and your system for PERFORMANCE improvement.

Within your response, include answers to the following questions:

a. Competitive Environment

   (1) **Competitive Position**   What is your competitive position? What are your relative size and growth in your industry or markets served? What are the numbers and types of competitors for your organization?

   (2) **Competitiveness Changes**   What are any KEY changes taking place that affect your competitive situation, including opportunities for INNOVATION and collaboration, as appropriate?

   (3) **Comparative Data**   What are your KEY available sources of comparative and competitive data from within your industry? What are your KEY available sources of comparative data from outside your industry? What limitations, if any, affect your ability to obtain these data?

b. Strategic Context

   What are your KEY business, operational, societal responsibility, and human resource STRATEGIC CHALLENGES and ADVANTAGES?

c. PERFORMANCE Improvement System

   What are the KEY elements of your PERFORMANCE improvement system, including your evaluation, organizational LEARNING, and INNOVATION PROCESSES?

1   Leadership

The *Leadership* category examines HOW your organization's SENIOR LEADERS' personal actions guide and sustain your organization. Also examined are your organization's GOVERNANCE system and HOW your organization fulfills its legal, ethical, and societal responsibilities and supports its KEY communities.

1.1 Senior Leadership: How do your senior leaders lead?

Describe HOW SENIOR LEADERS' actions guide and sustain your organization. Describe HOW SENIOR LEADERS communicate with your WORKFORCE and encourage HIGH PERFORMANCE.

1.2 Governance and Societal Responsibilities: How do you govern and fulfill your societal responsibilities?

Describe your organization's GOVERNANCE system and APPROACH to leadership improvement. Describe HOW your organization ensures legal and ETHICAL BEHAVIOR, fulfills its societal responsibilities, and supports its KEY communities.

2 Strategic Planning

The *Strategic Planning* category examines HOW your organization develops STRATEGIC OBJECTIVES and ACTION PLANS. Also examined are HOW your chosen STRATEGIC OBJECTIVES and ACTION PLANS are implemented and changed if circumstances require, and HOW progress is measured.

2.1 Strategy Development: How do you develop your strategy?

Describe HOW your organization establishes its strategy to address its STRATEGIC CHALLENGES and leverage its STRATEGIC ADVANTAGES. Summarize your organization's KEY STRATEGIC OBJECTIVES and their related GOALS.

2.2 Strategy Implementation: How do you implement your strategy?

Describe HOW your organization converts its STRATEGIC OBJECTIVES into ACTION PLANS. Summarize your organization's ACTION PLANS, HOW they are DEPLOYED, and KEY ACTION PLAN PERFORMANCE MEASURES or INDICATORS. Project your organization's future PERFORMANCE relative to KEY comparisons on these PERFORMANCE MEASURES or INDICATORS.

3 Customer Focus

The *CUSTOMER Focus* category examines HOW your organization engages its CUSTOMERS for long-term marketplace success. This ENGAGEMENT strategy includes HOW your organization listens to the VOICE OF ITS CUSTOMERS, builds CUSTOMER relationships, and uses CUSTOMER information to improve and identify opportunities for INNOVATION.

3.1 Voice of the Customer: How do you obtain information from your customers?

Describe HOW your organization listens to your CUSTOMERS and gains satisfaction and dissatisfaction information.

3.2 Customer Engagement: How do you engage customers to serve their needs and build relationships?

Describe HOW your organization determines product offerings and communication mechanisms to support CUSTOMERS. Describe HOW your organization builds CUSTOMER relationships.

Measurement, Analysis, and
4 Knowledge Management

The *Measurement, ANALYSIS, and Knowledge Management* category examines HOW your organization selects, gathers, analyzes, manages, and improves its data, information, and KNOWLEDGE ASSETS and HOW it manages its information technology. The category also examines HOW your organization uses review findings to improve its PERFORMANCE.

4.1 Measurement, Analysis, and Improvement of Organizational Performance:
How do you measure, analyze, and then improve organizational performance?

Describe HOW your organization measures, analyzes, reviews, and improves its PERFORMANCE through the use of data and information at all levels and in all parts of your organization.

4.2 Management of Information, Knowledge, and Information Technology:
How do you manage your information, organizational knowledge, and information technology?

Describe HOW your organization builds and manages its KNOWLEDGE ASSETS. Describe HOW your organization ensures the quality and availability of needed data, information, software, and hardware for your WORKFORCE, suppliers, PARTNERS, COLLABORATORS, and CUSTOMERS.

5 Workforce Focus

The **WORKFORCE Focus** category examines your ability to assess WORKFORCE CAPABILITY and CAPACITY needs and build a WORKFORCE environment conducive to HIGH PERFORMANCE. The category also examines HOW your organization engages, manages, and develops your WORKFORCE to utilize its full potential in ALIGNMENT with your organization's overall MISSION, strategy, and ACTION PLANS.

5.1 Workforce Environment: How do you build an effective and supportive workforce environment?

Describe HOW your organization manages WORKFORCE CAPABILITY and CAPACITY to accomplish the work of the organization. Describe HOW your organization maintains a safe, secure, and supportive work climate.

5.2 Workforce Engagement: How do you engage your workforce to achieve organizational and personal success?

Describe HOW your organization engages, compensates, and rewards your WORKFORCE to achieve HIGH PERFORMANCE. Describe HOW you assess WORKFORCE ENGAGEMENT and use the results to achieve higher PERFORMANCE. Describe HOW members of your WORKFORCE, including leaders, are developed to achieve HIGH PERFORMANCE.

6 Operations Focus

The *OPERATIONS FOCUS* category examines HOW your organization designs, manages, and improves its WORK SYSTEMS and WORK PROCESSES to deliver CUSTOMER VALUE and achieve organizational success and SUSTAINABILITY. Also examined is your readiness for emergencies.

6.1 Work Systems: How do you design, manage, and improve your work systems?

Describe HOW your organization designs, manages, and improves its WORK SYSTEMS to deliver CUSTOMER VALUE, prepare for potential emergencies, and achieve organizational success and SUSTAINABILITY.

6.2 Work Processes: How do you design, manage, and improve your key work processes?

Describe HOW your organization designs, manages, and improves its KEY WORK PROCESSES to deliver CUSTOMER VALUE and achieve organizational success and SUSTAINABILITY.

7 Results

The *RESULTS* category examines your organization's PERFORMANCE and improvement in all KEY areas—product and PROCESS outcomes, CUSTOMER-focused outcomes, WORKFORCE-focused outcomes, leadership and GOVERNANCE outcomes, and financial and market outcomes. PERFORMANCE LEVELS are examined relative to those of competitors and other organizations with similar product offerings.

7.1 Product and Process Outcomes: What are your product performance and process effectiveness results?

Summarize your organization's KEY product PERFORMANCE and PROCESS EFFECTIVENESS and efficiency RESULTS. Include PROCESSES that directly serve CUSTOMERS, strategy, and operations. SEGMENT your RESULTS by product offerings, by CUSTOMER groups and market SEGMENTS, and by PROCESS types and locations, as appropriate. Include appropriate comparative data.

7.2 Customer-Focused Outcomes: What are your customer-focused performance results?

Summarize your organization's KEY CUSTOMER-focused RESULTS for CUSTOMER satisfaction, dissatisfaction, and ENGAGEMENT. SEGMENT your RESULTS by product offerings, CUSTOMER groups, and market SEGMENTS, as appropriate. Include appropriate comparative data.

7.3 Workforce-Focused Outcomes: What are your workforce-focused performance results?

Summarize your organization's KEY WORKFORCE-focused RESULTS for your WORKFORCE environment and for WORKFORCE ENGAGEMENT. SEGMENT your RESULTS to address the DIVERSITY of your WORKFORCE and to address your WORKFORCE groups and SEGMENTS, as appropriate. Include appropriate comparative data.

7.4 Leadership and Governance Outcomes: What are your senior leadership and governance results?

Summarize your organization's KEY SENIOR LEADERSHIP and GOVERNANCE RESULTS, including those for fiscal accountability, legal compliance, ETHICAL BEHAVIOR, societal responsibility, and support of KEY communities. SEGMENT your RESULTS by organizational units, as appropriate. Include appropriate comparative data.

7.5 Financial and Market Outcomes: What are your financial and marketplace performance results?

Summarize your organization's KEY financial and marketplace PERFORMANCE RESULTS by market SEGMENTS or CUSTOMER groups, as appropriate. Include appropriate comparative data.